

**SECTION J – ATTACHMENT F**

**QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)**

WIPP Transportation Services 2017 Procurement

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## **QUALITY ASSURANCE SURVEILLANCE PLAN (QASP)**

### **1 INTRODUCTION**

This Quality Assurance Surveillance Plan (QASP) is pursuant to requirements listed in DE-SOL-0009438, Section C, Performance Work Statement (PWS) entitled WIPP Transportation Services 2017. This plan sets forth procedures and guidelines the Department of Energy (DOE) Carlsbad Field Office (CBFO) will use to ensure the Contractor achieves requisite performance standards. The Government may monitor other work under this contract or take other contractual remedies as necessary.

#### **1.1 Purpose**

- 1.1.1 This QASP describes procedures that DOE will use to monitor and evaluate Contractor performance. The QASP focuses on examining the Contractor's service results and not the underlying processes to produce them. DOE intends for the QASP to be a tool which guides reviewers in assessing Contractor performance. In some cases, DOE will use specific metrics to measure Contractor performance; in other cases subjective judgment and evaluation by DOE personnel will be the determining criteria. This plan describes the methodology to conduct both quantitative and qualitative evaluation of Contractor performance under the contract.
- 1.1.2 The QASP provides a means to evaluate whether the Contractor meets performance standards/quality levels per the PWS and the Contractor's Quality Assurance (QA) plan (Section C.4.5), and to ensure that Government pays only for the level of service it receives.

#### **1.2 Performance Management Approach**

- 1.2.1 This QASP will define DOE-CBFO's approach to Contractor performance management to ensure achievement of expected outcomes or performance objectives in the PWS. Performance management rests on developing a capability to review and analyze information generated through performance assessment. The ability to base decisions on the analysis of performance data is the cornerstone of performance management; this analysis yields information that indicates whether the Contractor achieves expected outcomes for the project.
- 1.2.2 Performance management represents a significant shift from the more traditional QA concepts in several ways. Performance management focuses on assessing whether the Contractor achieves desired outcomes and to what extent. This approach migrates away from scrutiny of compliance with the processes and practices used to achieve the outcome. A performance-based approach enables the Contractor to play a large role in how it performs work, as long as the proposed processes are within stated constraints. The only exceptions to process reviews are those required by law (federal, state, and local) and compelling business situations, such as safety and health. A "results" focus provides the Contractor flexibility to continuously improve and innovate over the course

of the contract as long as the Contractor achieves expected critical outcomes and/or meets desired performance levels.

### **1.3 Performance Management Strategy**

1.3.1 The Contractor is responsible for the quality of all work it performs. The Contractor measures that quality through the Contractor's QA Plan [Section C.4.5]. The Contractor's QA Plan sets forth staffing and procedures for self-inspecting quality, timeliness, responsiveness, customer satisfaction, and other performance requirements in the PWS. This QASP outlines the roles, responsibilities, and surveillance methodologies that the Government will undertake to ensure that the Contractor complies with its Quality Assurance Plan.

1.3.2 Government representative(s) will monitor performance and review performance reports the Contractor furnishes to determine how the Contractor is performing against contractual performance objectives. The Contractor will be responsible for making changes in processes and practices to ensure effective performance management.

### **1.4 QASP Relation to the Quality Assurance Program**

The Contractor's QA Plan [Section C.4.5] is a requirement that the Contractor will submit to DOE no later than 30 days after award. This QA plan, at a minimum, must comply with the CBFO QA Program Document (QAPD DOE/CBFO-94-1012) and DOT requirements. CBFO's QA document further outlines that participant organizations responsible for waste transportation shall implement a program of surveillance and audits to verify compliance, adequacy and effectiveness of the QA program. DOE will collaborate with the Contractor to schedule an annual audit of transportation activities at its facility.

While the Contractor's QA Plan describes how the Contractor will ensure quality and timeliness of services, as defined in the PWS, the QASP represents the way in which DOE will evaluate Contractor performance. DOE expects that implementation of Contractor QA Plan requirements will be sufficient for meeting the Performance Requirements Summary (PRS) per Attachment 1. The Contractor's QA Plan and the QASP should be complementary programs that help ensure successful Contractor performance.

### **1.5 Revisions to the QASP**

The QASP is a tool for use in Government administration of the contract and remains subject to revision at any time by the Government throughout the contract performance period. Revisions to this surveillance plan are the responsibility of the Contracting Officer (CO) or designee. The Government may make changes to the QASP, via a bilateral modification to the contract.

## **2 ROLES AND RESPONSIBILITIES**

The purpose of the QASP is to ensure that the Government receives satisfactory services from the Contractor and to ensure that the Contractor meets its contractual obligation to DOE. Roles and responsibilities of Contractor and Government stakeholders are below.

## **2.1 Contractor Responsibility**

The Contractor is responsible for delivering services in accordance with the contract. The Contractor is responsible for implementing its QA plan (C.4.5), which is required in the contract, as a deliverable in Section J, Attachment B. The QA plan describes the Contractor's methods for ensuring all products and services it provides under the contract meet established performance standards and Acceptable Quality Level (AQL) s. The Contractor is responsible for producing, maintaining, and providing for audit quality assurance/control documents, reports, and all records associated with the investigation and resolution of performance issues Government identifies.

## **2.2 Government Responsibility**

This section of the QASP briefly defines the duties and responsibilities of key Government personnel involved in contract administration and quality assurance. The key personnel who will be responsible for QASP input are the Contracting Officer (CO) and the Contracting Officer's Representative (COR).

### **2.2.1 Contracting Officer (CO)**

The CO has overall responsibility for ensuring performance of all necessary actions for effective contracting, ensuring compliance with terms and conditions of the contract, and safeguarding the interests of the US Government.

- CO has the authority to administer the contract but may delegate many of the day-to-day contract administration duties to the COR.
- CO is the ONLY US Government official with authority to:
  - Negotiate and issue contract modifications
  - Resolve Contractor claims and disputes
  - Issue cure notices (notification that unless Contractor corrects unacceptable performance, Government may terminate the contract for default in accordance with FAR 49.607)
  - Issue show-cause letters (following a cure notice, requesting facts bearing on the case)
  - Terminate the contract
  - Conduct contract close-out functions.
- CO is responsible for monitoring contract compliance, contract administration and cost control.
- CO is responsible for resolving any differences between the observations documented by the COR and the Contractor.
- CO will designate one COR as the Government authority for performance management. The number of additional representatives serving as technical inspectors depends on the complexity of the services measured, as well as the Contractor's performance, and representatives must be identified and designated by the CO.

### **2.2.2 The Contracting Officer's Representative (COR)**

The COR is a federal employee the CO designates by name and/or position to act as a liaison between the Government and the Contractor on all issues pertinent to the daily operation of the contract. The COR represents the CO and, therefore, is the Contractor's initial point-of-contact with the Government.

- COR executes his/her duties in accordance within the scope and limitations in their written appointment letter.
- COR does NOT have authority to make any contractual commitments or to authorize any contractual changes on the Government's behalf. Contractor shall refer any changes that may affect contract price, terms, or conditions to the CO for action.
- COR will assist the CO in preparing and negotiating contract modifications.
- COR will inform the Contractor of problems and recommend to the CO that adverse contractual actions are appropriate (e.g., cure notice) if the Contractor fails to correct the problem.
- COR is responsible for technical administration of the project and ensures proper Government surveillance of the Contractor's performance.
- COR will have responsibility for completing QA monitoring forms used to document inspection and evaluation of the Contractor's work performance. Government surveillance may occur under the inspection of services clause for any service relating to the contract or under the inspection of supplies clause for any fixed price supplies relating to the contract.
- COR will verify acceptance of services and validate invoices for payment.

### **3 PERFORMANCE DESCRIPTION**

The PWS and PRS, Attachment 1 to this document, outline requisite performance standards and/or quality levels. If the Contractor meets requisite performance levels, the Contractor will be paid the firm fixed price amounts specified in paragraph (b) of Section B.3 of the contract for basic transportation services per scheduled contract intervals and the firm fixed unit price amounts specified in paragraph (c) of Section B.3 of the contract for additional transportation services per scheduled task order intervals. Failure to meet the performance level or maintain contract ordered services will result in deductions from the fixed price amounts specified in paragraph (b) of Section B.3 of the contract or the firm fixed unit price amounts specified in paragraph (c) of Section B.3 of the contract.

The Government will monitor performance of the Contractor through various surveillance methods within Section 4: Methodologies to Monitor Performance and Quality Assurance. The Government will evaluate performance data to assess the Contractor performance against contract requirements.

#### **3.1 Performance Standards and Acceptable Quality Levels (AQL)**

The PRS provides a performance standard and an AQL for select activities in the PWS. A performance standard describes a required element of Contractor performance. An AQL defines the level of performance that is deemed satisfactory.

The contract requires the Contractor to perform all work as specified. "Defects" are any inaccuracies or omissions in services by the Contractor. The Contractor is responsible for all

identified defects, and DOE may require the Contractor to re-perform the work at no increase to the fixed price.

AQLs take into account that in some instances an allowable level of deficiency (deviation) is possible while overall performance continues to meet DOE's desired level of service. AQLs define the level or number of performance deficiencies tolerable under this contract. They take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is necessary, and no deviation is acceptable (e.g., safety elements).

AQLs included in Attachment 1, PRS Table, for Contractor performance are structured to allow the Contractor to manage how it performs work while providing negative incentives for performance shortfalls. If the quality level does not meet or exceed the AQL in the PRS, the Government will consider the Contractor's performance unsatisfactory. Failure to consistently provide adequate quality services can result in termination for default.

A contract requirement can consist of several subtasks. The Government may determine that a contract requirement is partially complete if the Contractor satisfactorily completes some, but not all, of the work requirements. In those cases, deductions may still be taken from the Contractor's invoice. In addition to all of the rights the Government may have, the Government may make deductions for work that is partially complete.

### **3.2 Non-performance**

Non-performance occurs when the Contractor's performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements; therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness) or subject areas of effort.

When surveillance indicates that the Contractor's service output is not in compliance with contract requirements, the COR must determine whether the Contractor or Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the Contractor, the Contractor is responsible for correction of the problem at no increase to the fixed price.

The CO may deduct all amounts (per the PRS or other provisions of this contract) associated with such non-performed work from the Contractor's invoice. The CO may afford the Contractor an opportunity (subject to CO discretion) to accomplish non-performed work within a reasonable period.

## **4 METHODOLOGIES TO MONITOR PERFORMANCE AND QUALITY ASSURANCE**

Surveillance methods within the QA process are tools the Government uses to monitor Contractor services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor's service and analyze the results. Further, documented

inspection results are an effective tool in contract administration. Inspections either confirm the Contractor's successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary. In an effort to minimize the performance management burden, the Government will use simplified surveillance methods to evaluate Contractor performance when appropriate. The primary methods of surveillance are: file reviews, periodic inspections, random observations, DOE surveillance, DOE audits, customer feedback, and State DOT reviews.

The Government may reduce the number of inspections in those instances where the Contractor establishes a record of good performance. In cases of poor performance, DOE may increase the level of surveillance and focus on known problem areas. In either case, Government will document the reasons for the change in surveillance.

## **5 ANALYSIS OF QUALITY ASSURANCE ASSESSMENT**

### **5.1 Determining Performance**

The Government will use various monitoring methods to determine whether the Contractor has met performance standards. If the Contractor has not met performance requirements, the Government may ask the Contractor to develop a corrective action plan in accordance with contract section C.4.5.10 to show how and by what date it intends to increase performance up to requisite levels. Failure to meet the AQL for a given performance standard may result in a deduction from the invoiced payment amount using deductions shown in Attachment 1.

### **5.2 Reporting**

The Government will report its QA surveillance using the annual CBFO QA audit report and the monitoring forms in Attachment 2. The audit report and forms, when complete, will document the Government's assessment of Contractor performance under the contract. The CO and COR will retain a copy of all completed audit/surveillance forms.

- 5.2.1 The Government will document all work activities it observes to include both acceptable performance and non-performance. Thorough documentation of unperformed or poorly performed work is essential for tracking Contractor performance throughout the period of performance. The COR will document deficient work by compiling facts describing the inspection methods and results. A sample documentation reporting form is provided in Attachment 2: Sampling Guide/Quality Assurance Monitoring Forms/Inspection Checklist. The COR shall develop documentation to substantiate non-conformance with the contract and shall further decide whether to elevate the problem to the CO for corrective action.
- 5.2.2 The COR will prepare a written report (typically quarterly) for the CO which summarizes overall results of the quality assurance surveillances. This written report, which includes the Contractor's submitted monthly reports and the completed quality assurance monitoring forms (Attachment 2), will become part of the QA documentation and will enable the Government to demonstrate whether the Contractor is meeting stated objectives and/or performance standards, including cost/technical/scheduling objectives.



### **5.3 Reviews and Resolution**

5.3.1 Upon completion of inspections, the COR will perform an analysis of the Contractor's performance. An independent oversight group with subject matter knowledge in the respective field may also perform the analysis (Currently utilize the Carlsbad Technical Assistance Contractor (CTAC)). The purpose of the analysis is to ensure that DOE is receiving high-quality services from the Contractor. The COR will review the results of the Contractor rating, and characterize the Contractor's overall performance. Analysis of all types of contract monitoring will result in one of the following outcomes: satisfactory performance, marginal performance, or unsatisfactory performance.

5.3.2 Satisfactory Performance:

The Contractor's performance is satisfactory when it meets AQLs and deficiencies are correctable without adverse impact to mission accomplishment or activities. Any deficiencies are identified and corrected immediately (within the timeframe specified by DOE) by the Contractor.

5.3.3 Marginal Performance:

The Contractor's performance is marginal when assessment of tasks and sub-tasks reflect a potentially serious problem for which the Contractor has not yet identified corrective actions, or its proposed corrective actions appear only marginally effective or were not fully implemented.

5.3.4 Unsatisfactory Performance:

The Contractor's performance is unsatisfactory when performance for any service does not meet the AQL. The following responses are available to the COR and CO regarding that task/subtask:

- CO and/or COR meet with the Contractor to discuss discrepancies, trends, complaints, and intended corrective measures;
- COR increases the level of surveillance until the Contractor demonstrates acceptable performance over a period of time;
- COR issues a contract discrepancy report for each service that does not meet its AQL;
- Should deficiencies be significant and affect multiple requirements, CO action such as a 'Cure' notice may be appropriate.
- CO may deduct all amounts (per PRS or other provisions of this contract) associated with such non-performed work from Contractor's invoice. CO may afford Contractor an opportunity (subject to CO discretion) to accomplish non-performed work within a reasonable period.
- CO may employ Government personnel or other means (e.g., reducing the price under this contract to fund another Contractor) to perform the services.

### 5.3.5 Remedial Action:

The Federal Acquisition Regulation (FAR) allows for remedies in the event that the Contractor fails to perform the requisite services. The FAR regulations cited in the contract include the following:

<b>FAR Reference</b>	<b>Title</b>
52.246-2	Inspection of Supplies - Fixed-Price (AUG 1996)
52.246-4	Inspection of Services - Fixed-Price (AUG 1996)
52.246-5	Inspection of Services - Cost-Reimbursement (APR 1984)
52.246-14	Inspection of Transportation (APR 1984)
52.246-16	Responsibility for Supplies (APR 1984)

The Government may require the Contractor to correct services that did not meet contractual requirements. If the Contractor fails to perform requisite corrective actions in a timely manner (as defined by the DOE), the Government may (i) reduce the fixed price from any amounts paid or due under the contract; or (ii) terminate the contract for default.

- 5.3.6 Should the Government elect to afford the Contractor an opportunity to perform re-work, the CO may, at its sole discretion, elect not to take further action if: (1) the Contractor is working in good faith with the Government to correct the problem(s) in the future; and (2) the Contractor does not have a repetitive trend of non-performance and unsatisfactory work for the same requirements.
- 5.3.7 The CO must coordinate and communicate with the Contractor to resolve issues and concerns regarding marginal or unacceptable performance. The CO will give the Contractor written or verbal notice (followed up with a written notice) of deficiencies prior to deducting for non-performance or unsatisfactory work.

## 6 PERFORMANCE REQUIREMENTS SUMMARY

The Performance Requirements Summary (PRS) table summarizes specific work scope that the Contractor performs under this contract. The PRS associates each performance requirement with each contract requirement and includes:

### 6.1 Requisite Service.

Column 1 of the PRS identifies requisite services for evaluation.

### 6.2 Performance Standard.

Column 2 of the PRS identifies the performance standard for each requisite service. The column also provides a narrative summary of the expected service level for each requirement.

### 6.3 Acceptable Quality Level (AQL).

Column 3 of the PRS identifies the AQL for each performance standard. AQL is the quality of performance which, when not met, indicates that the Contractor's quality of performance/services is unsatisfactory. AQL when expressed as a percentage represents the percentage of inspected items that must be acceptable to meet the AQL. It does not represent the percentage of items that the Government inspects.

#### **6.4 Methods of Surveillance.**

Column 4 of the PRS identifies methods of surveillance for each requisite service. The surveillance method describes how Government will evaluate the AQL (e.g., reviews, periodic inspections, random observations, surveillances, customer feedback, or audits)

#### **6.5 Deductions.**

Column 5 of the PRS identifies the deduction for each requisite service. The deduction represents a monetary reduction for not meeting the AQL, either as a percentage of the line item cost or flat deduction.

In accordance with FAR 52.246-2, Inspection of Supplies – Fixed Price, the Government has the right either to reject or to require correction of nonconforming supplies. In addition, in accordance with FAR 52.246-4, Inspection of Services – Fixed Price, the Government may require the Contractor to perform the services again in conformity with contract requirements, at no increase in contract amount.

### ATTACHMENT 1: PERFORMANCE REQUIREMENTS SUMMARY

1. Requisite Services (Tasks)	2. Performance Standards	3. Acceptable Quality Levels	4. Methods of Surveillance	5. Deduction
PWS C.3.1.6 Driver Inspections	Contractor shall stop to conduct routine safety inspections of the tractor, trailer, and packaging/packages.	100%; Zero instances of failure to conduct requisite safety inspections.	Review of logbooks, TRANSCOM entries, DOE Audit.	Maximum of \$500 per incident of non-performance.
PWS C.3.1.8 Transit Time and Direct Routes	Contractor shall transport loaded shipments on designated transportation routes.	Zero instances of unauthorized route deviations while transporting loaded shipments.	WIPP Central Monitoring Room (CMR) and TRANSCOM Control Center (TCC) monitoring.	Maximum of \$500 per unauthorized route deviation in addition to driver penalties listed in PWS C.3.5.1.6.
PWS C.3.1.9 Continuous Surveillance Service/Security	Contractor shall provide Continuous Surveillance Service on all loaded TRU waste shipments.	100%; Zero instances of an unattended tractor and/or trailer.	Field reports from Law Enforcement Officials, random surveillance.	Maximum of \$500 dollars per incident of non-performance in addition to driver penalties listed in PWS C.3.5.1.6.
PWS C.3.2 Terminal Services	Contractor shall operate and maintain a terminal and maintenance facility within the Greater Carlsbad, New Mexico area (10 mile perimeter of Carlsbad).	100%; Contractor must continuously provide all terminal services per C.3.2.	Observation, periodic inspection, DOE audit.	Maximum of \$20,000 dollars per invoice period for non-compliance
Contract Section B.3 and PWS C.3.3	Contractor shall provide and maintain the contract ordered	100%; Contractor must continuously	Observation, periodic inspection, DOE audit.	Deduction will be calculated from the applicable ordering period

<b>1. Requisite Services (Tasks)</b>	<b>2. Performance Standards</b>	<b>3. Acceptable Quality Levels</b>	<b>4. Methods of Surveillance</b>	<b>5. Deduction</b>
Basic and if applicable Additional Tractor Services	Basic and if applicable additional number of dedicated tractors	provide all ordered services per B.3, C.3.3.		FFP/FFUP for the specified months in contract section B.3(c). The calculation will reflect the amount for the time period of non-compliance (pro-rated within each invoicing period).
Contract Section B.3 and PWS C.3.4 Maintenance Services	Contractor shall provide the contract ordered Basic and if applicable additional number of trailer maintenance services.	100%; Contractor must continuously provide all ordered services per B.3, C.3.4.	Observation, periodic records inspection, DOE audit.	Deduction will be calculated from the applicable ordering period FFP/FFUP for the specified months in contract section B.3(c). The calculation will reflect the amount for the time period of non-compliance (pro-rated within each invoicing period).
Contract Section C.3.4.1.9	Hours of “downtime” for equipment shall not exceed 1%	99%; Contractor must make the tractor and/or trailer (equipment) available to make and/or complete a shipment in a month.	DOE review of monthly summary reports	A basis for the issuance of a cure notice and/or termination for default and/or any other action the Department determines to be necessary
Contract Section B.3 and PWS C.3.5	Contractor shall provide the contract ordered-Basic and if	100%; Contractor must	Observation, periodic records inspection,	Deduction will be calculated from the applicable

1. Requisite Services (Tasks)	2. Performance Standards	3. Acceptable Quality Levels	4. Methods of Surveillance	5. Deduction
Driver Services	applicable additional number of drivers services that meet all applicable DOT and CBFO driver requirements.	continuously provide all ordered services per B.3, C.3.5.	CBFO Qualified Drivers List, DOE audit.	ordering period FFUP for the 12 month ordering period, specified in contract section B.3(c). The calculation will reflect the amount for the time period of non-compliance (pro-rated within each invoicing period). (i.e. if the Contractor is not able to fill one driver position for one month (in a 12-month period), payment to the Contractor will be reduced by 1/12 of the specified FFP/FFUP in Section B.3(c), under the Additional Driver Services (for the entire team).
PWS C.4.1 Transportation Management Plan	Contractor shall submit a transportation management plan detailing operational process to fulfill PWS requirements.	100%; Plan is in accordance with PWS and Section J – Attachment B.	Documentation review, DOE audit.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has discretion to administer the corrective

<b>1. Requisite Services (Tasks)</b>	<b>2. Performance Standards</b>	<b>3. Acceptable Quality Levels</b>	<b>4. Methods of Surveillance</b>	<b>5. Deduction</b>
				measure.
PWS C.4.3 Transition Plan	Contractor shall submit a Transition plan from award date to assumption of contract responsibilities.	100%; Plan is in accordance with PWS and Section J – Attachment B	Documentation review, DOE audit.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has discretion to administer the corrective measure.
PWS C.4.4 Security Plan	Contractor shall submit a security plan that meets CBFO and DOT requirements covering transportation and support facilities.	100%; Plan is in accordance with PWS and Section J, Attachment B.	Documentation review, DOE audit.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has discretion to administer the corrective measure.
PWS C.4.5 Quality Assurance Plan	Contractor shall submit a Quality Assurance plan that complies with the CBFO QA Program Document and DOT requirement.	100%; Plan is in accordance with PWS and Section J, Attachment B.	Documentation review, DOE audit.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has

1. Requisite Services (Tasks)	2. Performance Standards	3. Acceptable Quality Levels	4. Methods of Surveillance	5. Deduction
				discretion to administer the corrective measure.
PWS C.4.6 ISMS	Contractor shall submit an ISMS graded approach description that meets CBFO, DOE P 450.4A and DEAR Clause 48-CFR 970.5223-1 requirements.	100%; Plan is in accordance with PWS and Section J, Attachment B	Documentation review, DOE audit.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has discretion to administer the corrective measure.
PWS C.3.1.7, C.3.4.1.5 & FAR 52.245-1 Reporting	Contractor shall submit monthly reports for State/Tribal Agency Inspections and Equipment Downtime. Contractor shall submit annual reports for State/Tribal Inspections and Government Furnished Property.	100%; Reports are in accordance with PWS and Section J, Attachment B	Observation, documentation review and surveillance.	\$500 for each documented instance when a report is submitted after the scheduled due date, or is not technically accurate and complete; however, CO has discretion to administer the corrective measure.



**ATTACHMENT 2: SAMPLING GUIDE/QUALITY ASSURANCE MONITORING  
FORMS/INSPECTION CHECKLIST**

**SERVICE or STANDARD:** \_\_\_\_\_

\_\_\_\_\_

**SURVEY PERIOD:** \_\_\_\_\_

**SURVEILLANCE METHOD:** \_\_\_\_\_

**LEVEL OF SURVEILLANCE (Check):**

☐ Monthly      ☐ Quarterly      ☐ As needed

**PERCENTAGE OF ITEMS SAMPLED DURING SURVEY PERIOD:** \_\_\_\_\_ %

**ANALYSIS OF RESULTS:**

NOTE: **S** = Satisfactory Performance    **M** = Marginal Performance    **U** = Unsatisfactory  
Performance    **N/A** = Not Applicable

	<b>Performance:</b> Satisfactory (S), Marginal (M), Unsatisfactory (U), Not Applicable (N/A)		
<b>PRS Requirements</b>	<b>Timeliness</b>	<b>Quality of Work</b>	<b>Notes</b>
<b>Overall Rating Of Inspection (S, M, U, or N/A)</b>			

**Narrative of Performance during Survey Period:** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**PREPARED BY:** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**CONTRACTOR SIGNATURE:** \_\_\_\_\_ **DATE:** \_\_\_\_\_